



INDIANA DATA PARTNERSHIP

GOVERNANCE

Effective Date: June 4, 2019



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1 Introduction

The Indiana Data Partnership (IDP) is a collaboration between the State of Indiana's Management Performance Hub (MPH) and various partners (state, universities, public and private) designed to enhance collaboration among public service organizations and to facilitate increased data sharing for public good at the state and local levels in the state of Indiana. Solving the most difficult challenges facing government and society today requires a new approach. Like our most innovative companies, government and public-facing organizations need to increase their problem-solving capacity and effectiveness through creativity, robust service-delivery networks, and increased public-private partnerships fostered through greater access to information generated from the delivery of public services.

The IDP aims to establish an improved technology platform for multi-party external data sharing and matching within MPH and will use cluster network analysis, social network analysis, and other advanced analytic methods to tackle identified key challenges facing the state. IDP accomplishes this by:

- a) Leveraging MPH's technical capabilities to consume and share data,
- b) Optimizing a legal and governance framework to share data among entities, and
- c) Building community relationships and highlighting opportunities for collaboration.

The initial pilot project period focused on the development of a cluster mapping and data-sharing technical platform that with additional resources will be scaled to the remainder of the state. To ensure the operational success of IDP, including its long-term expansion and adoption, it is necessary to establish a governance and advisory structure to guide IDP as it develops. MPH will be the home for the partnership, serving as the hub of an expanding network of partners, which are expected to comprise both government and non-government entities. This document addresses the terms under which IDP will operate, how it will accept new members and under what conditions, and how it will work collaboratively while respecting the autonomy of its various partners as an ongoing data and network information resource.

Other issues will be addressed by various operating committees established as a part of the governing framework. These issues include, but are not limited to, the development of data-sharing agreements/protocols, security and privacy policies, recommendations for membership in authorized committees, and other policies and procedures necessary to ensure effective governance of IDP.



1.1 Purpose

The purpose of this document is to provide a framework for establishing and institutionalizing productive and valuable relationships between and across different levels of government, non-governmental service organizations, and other related data-providing entities involved with IDP. IDP is a collaborative project that has been developed initially between MPH and Indiana University. This project will expand to include additional stakeholders, potentially including other non-governmental or university parties. For IDP to achieve long term strategic and operational success, it is necessary to provide guidance to IDP Partners, Members, and other Affiliated Stakeholders (all as defined below in Section 3.2 Membership) in the form of this governance document and other related reference documents, e.g., policies, agreements, etc.

1.2 Guiding Principles

The following guiding principles are important to the development of IDP governance structure among partners at all levels.

- IDP will implement appropriate controls to maintain privacy and security at the highest level.
- IDP will promote the effective management of shareable data and information through common resource collaboration.
- IDP will exemplify collaboration as an institutional behavior.
- Effective governance will remove systematic friction to enable timely and robust exchange of data, information and ideas.
- The governance structure will foster and facilitate trust among Partners, Members and other Affiliated Stakeholders.
- The governance structure will maintain the necessary balance between protecting stakeholder needs and providing greater access to data.
- Committee actions will ensure that decisions and transactions are transparent to the greatest extent possible.
- The governance structure will enable better decision making for IDP Partners, Members, Affiliated Stakeholders, plus any other potential beneficiaries of IDP.
- IDP will promote value creation, service coordination, and problem solving enabled by more pervasive and widespread data sharing.

1.3 Governance Objectives

IDP is founded on the vision of creating a true statewide data partnership that will extend beyond the initial MPH and IU partnership. A detailed and effective governance structure is



essential to enhance IDP's ability to meet expectations and its adaptability to accommodate various operational requirements and organizational needs. The governance for IDP focuses on providing a framework for effective decision-making utilizing defined structures, the appropriate decision-makers, and the right information. An effective governance structure will:

- Enable organizations to establish a formal relationship with IDP;
- Delineate the roles and responsibilities of Partners, Members, and Affiliated Stakeholders;
- Provide decision-making process for managing IDP through its various committees; and,
- Increase collaborations with organizations and government agencies who are providing services addressing similar client needs.

2 Definitions

- a) **Partner** – an organization providing substantial financial, data, other strategic resources, or subject matter expertise to IDP.
- b) **Member** – an organization that is participating in IDP by executing a data sharing agreement and that regularly shares its organizational, program, or related data in accordance with its terms.
- c) **Affiliated Stakeholder** – an organization or individual that does not share data routinely with IDP but may engage in activities in support of IDP, including serving as a member of the Advisory Committee, or providing subject matter expertise or other advisory services, regardless of whether such expertise or services are compensated.

3 Governance structure

3.1 In General

The IDP governance structure provides a comprehensive method of managing and ensuring its success by defining, documenting, and communicating the terms under which the IDP will operate. It includes a framework for making decisions, and related roles and responsibilities. Governance will be based upon a multi-level framework that provides decision authority, policy making, and stakeholder services in the most efficient way possible. An effective system of governance will enable project and operational leadership,



policy creation relevant to IDP, and a means to address issues and opportunities arising from the development and ongoing operations of IDP at the lowest and most responsive level possible. Escalation of issues, questions, and recommendations begin at the lowest practical level and move up the decision-making hierarchy, while the dissemination of strategic and high-impact decisions of IDP moves down through the subsidiary domains of the model.

The governance structure of the IDP will be overseen and maintained through three Committees. Additional committees may be created by the Executive Committee (see below). The three committees initially established by this governance document are:

- a) The Executive Committee, which operates as a committee-of-the-whole to exercise oversight and governance authority for IDP.
- b) The Data Governance Committee, which provides guidance on all matters related to data management and use, is established under authority of the Executive Committee.
- c) The Advisory Committee, which serves as a broad-based advisory body that helps IDP review, monitor, and assess its programmatic activities and its partners' needs, is established under authority of the Executive Committee.

3.2 Membership

Membership in IDP is voluntary and is subject to the approval of the Executive Committee. The Executive Committee may delegate authority to grant committee membership to other subsidiary committees, e.g., the Data Governance Committee, in accordance with the voting procedures described in section 3.3 Voting.

Membership may be granted only to official representatives of eligible organizations, including individuals holding public office. No private individual may be granted membership in which they are representing themselves in the IDP.

Partners, Members, or Affiliated Stakeholders should be represented by, to the greatest extent possible, the participating organization's highest organizational position, e.g., CEO, President, Executive Director, Director, etc., as primary representative of its organization. In the event of an absence of the primary representative, the primary representative may designate another representative of that organization to represent her or him in official meetings, and as needed, to vote on official actions of each respective Committee of which the organization is represented.



Membership status (i.e., Partner, Member, Affiliated Stakeholder) shall continue as long as the organization is compliant with the terms of the data sharing agreement and any other agreement(s) executed by any authorized persons, or until such time as the organization withdraws from the IDP.

The Executive Committee shall designate MPH to keep a current roster of all Partners, Members, or Affiliated Stakeholders.

3.3 Voting

Any action considered to be an official action of an IDP committee shall be voted on for adoption. Official actions include, but are not limited to establishment of policies, granting of membership, decisions to enter contracts or other agreements that directly relate to discretionary business or financial matters of the IDP, or any other action determined by the committee chairperson to require a vote.

A quorum of a committee's membership is required to vote on official actions. Official actions may be agreed upon by unanimous consent, or if unanimous consent cannot be agreed upon, by majority vote of membership present.

3.4 Committee Roles and Responsibilities

3.4.1 Executive Committee

The Executive Committee will provide overall decision-making authority for the IDP as described in the Executive Committee Charter on page 8 of this document. The Executive Committee shall be comprised only of IDP Partners.

Other Partners may be added to the Executive Committee in accordance with the provisions of Membership (Section 3.2) and Voting (Section 3.3).

Terms & Retention – Each appointee to the Executive Committee shall serve for one year, without term limits, unless the member organization voluntarily withdraws from the Executive Committee and/or IDP. Such withdrawal shall be submitted in writing and transmitted to the Chair of the Executive Committee by any common means of transmission, including electronically.



3.4.2 Data Governance Committee

The Data Governance Committee shall be responsible for all policies and procedures concerning data administration, data security and privacy, and data access as described in the Data Governance Committee Charter on page 10 of this document. The Data Governance Committee is delegated decision-making authority to establish and administer all data policies as needed to execute its responsibilities. Notwithstanding this delegation, the Executive Committee reserves the right to review and amend any policy adopted by the Data Governance Committee.

The Data Governance Committee may include staff designated by IDP Partner or Members who possess requisite experience as described in the Data Governance Committee Charter, and as approved by the Executive Committee.

3.4.3 Advisory Committee

The Advisory Committee will provide subject-matter expertise and recommendations to the Executive Committee as described in the Advisory Committee Charter on page 13 of this document. The Advisory Committee will focus narrowly on specific programmatic aspects to enhance support provided to IDP. The Advisory Committee may provide feedback on the performance of a program; assist the Executive Committee in reviewing/monitoring/assessing a specific program or programs; serve as advocate for IDP to the communities and partners it serves; gather input from/serve as a liaison with relevant constituencies and partners; provide feedback to IDP from stakeholders; provide technical expertise; provide an independent/unbiased sounding board, and advise or assist staff in determining important activities. The Advisory Committee is comprised of IDP Members or Affiliated Stakeholders, as defined above, who shall be approved by the Executive Committee.



4 Charters

4.1 Charter amendment

The following charters, plus any additional governing documents, and membership of each Committee, will be reviewed annually to determine if any changes are to any aspects of the Committee's structure, membership, or other operating components.

4.2 Executive Committee Charter

Executive Committee Charter	
Purpose	The executive committee is a multi-agency committee that shall provide oversight and leadership for IDP. The executive committee is comprised of the MPH chief data officer (CDO), who will serve as convener and chair, founding Indiana University partners, and any other individuals approved by the Executive Committee. The Executive Committee sets strategic direction and serves as the decision-making body for the IDP. Partners of the Executive Committee affirm that the work of IDP adds value to their agencies and to Indiana as a whole and, therefore, will strive to secure resources for its operation. It also will plan for the expansion of IDP to include other collaborating Partners, some of whom, over time, may be added to the Executive Committee.
Scope	The purposes and responsibilities outlined in this Charter are meant to serve as guidelines rather than as inflexible roles, and the Executive Committee is encouraged to adopt such additional policies, procedures and standards it deems necessary to fulfill its responsibilities. The scope of authorities exercised by the Executive Committee shall extend to all aspects of IDP both as a project and an ongoing entity to the extent such authorities do not conflict with any public law, regulation, ordinance, or official public agency responsibility.
Responsibilities	<ul style="list-style-type: none">• Champion IDP implementation and improvement as related to policy, legislation and resources.• Partners of the Committee will represent the interest of their organization, consistent with applicable law and their organization's authority, in support of the collective vision for IDP.• The Committee will Identify and allocate resources for advancing the work of IDP.• The Committee will address IDP Partner and other concerns that may be elevated to the Executive Committee's attention.• The Committee will address IDP strategic direction and operational impact.• Prepare and electronically store minutes of each Committee meeting.

Membership	<p>Membership of the Executive Committee shall consist of at least five members. Members shall be an executive of their own agency/organization, and as such serve as a representative of that respective organization and not in a personal capacity, except as otherwise provided in Section 3.2 Membership. The Executive Committee should strive to represent views and concerns from multiple sectors, such as academia, non-profit sector, private sector, and state and local government. The Executive Committee members can appoint a facilitator to coordinate meetings and keep notes as needed.</p> <p>The initial membership of the Executive Committee is comprised of:</p> <ul style="list-style-type: none"> • The State of Indiana Chief Data Officer (Chair) • A representative of the IU Vice President for Engagement • The Director of the Indiana Business Research Center • The Executive Director of the Polis Center • The Director of the IU Public Policy Institute
Meetings	No less than quarterly or at the request of the Chair.
Decision Making	By simple majority vote subject to the presence of a quorum at the time a vote is taken. The Executive Committee may also make decisions by unanimous consent.
Conflicts of Interest	No member of the Executive Committee may participate in a vote on a matter if such voting is inconsistent with the Indiana Code of Ethics or the by-laws or ethics policies applicable to her or his organization.

4.3 Data Governance Committee Charter

Data Governance Committee Charter			
Purpose	<p>A Data Governance Committee is a multi-disciplinary group formed to increase data quality, improve data literacy, maximize the value of the data, and assure data security, privacy and integrity. This committee develops data-related policies and procedures that help ensure data can be turned into actionable information for end users while maintaining data security, privacy and integrity. These policies and procedures should provide clear guidance to individuals who interact with data across various stakeholder organizations, including those individuals who perform specific data-related tasks such as data validation/transformation, workflow mapping, reporting, specification, integration, and analysis.</p> <p>The Data Governance Committee also will provide recommendations on the development of the technical platform and tools to support broader data access, including a public-facing data portal, as well as establishing and publishing metadata standards supporting cross-agency and external data sharing to improve scalability and to match external data with data already in the Indiana Data Hub while ensuring the highest levels of security and privacy.</p> <p>The Data Governance Committee also will advise the Executive Committee on the need for resources or strategic decisions affecting the long-term expansion and operation of IDP.</p>		
Scope	<p>The Data Governance Committee's scope is to be construed broadly to address issues that affect the IDP's data inventory, data collection and management, data quality, access for internal and external users, other user requirements, and privacy and security.</p>		
Responsibilities	<p>The Data Governance Committee shall be responsible for the development, promulgation and enforcement of policies addressing:</p> <table border="0"> <tr> <td style="vertical-align: top;"> <p><i>Communication</i></p> <ul style="list-style-type: none"> • Manage communication about data-related policies, standards and decisions to all stakeholders, and coordinate the activities of any individual or organization who may create, use or administer IDP data <p><i>Data inventory</i></p> <ul style="list-style-type: none"> • Establish and maintain and review proposed changes to the IDP data inventory </td><td style="vertical-align: top;"> <p><i>Data quality</i></p> <ul style="list-style-type: none"> • Set direction and monitor data quality • Identify problems with the quality of the data provided • Identify data gaps and resolutions <p><i>Privacy and security</i></p> <ul style="list-style-type: none"> • Ensure policies and procedures to maintain the protection of sensitive data </td></tr> </table>	<p><i>Communication</i></p> <ul style="list-style-type: none"> • Manage communication about data-related policies, standards and decisions to all stakeholders, and coordinate the activities of any individual or organization who may create, use or administer IDP data <p><i>Data inventory</i></p> <ul style="list-style-type: none"> • Establish and maintain and review proposed changes to the IDP data inventory 	<p><i>Data quality</i></p> <ul style="list-style-type: none"> • Set direction and monitor data quality • Identify problems with the quality of the data provided • Identify data gaps and resolutions <p><i>Privacy and security</i></p> <ul style="list-style-type: none"> • Ensure policies and procedures to maintain the protection of sensitive data
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Data Governance Committee Charter

- Make recommendations on adding or removing elements from the data inventory
 - Provide guidance on the purpose and scope of the IDP data inventory
- Data collection*
- Ensure that the access, use, release, maintenance, and destruction of IDP data is consistent with state and federal laws and regulations
 - Provide updates on any changes to data collected by the IDP partners and provided to the IDP
 - Develop recommendation on data tools and data submission standards
 - Identify and propose resolutions to data collection and processing issues
 - Identify whether additional data are needed from partners, including the justification for additional data and legal implication and logistical impact of the data
 - Prepare and electronically store minutes of each meeting.
- Facilitate the exchange of information between IDP and the partners to align initiatives
 - Comply with policies and procedures established by IDP on technical architecture
 - Comply with partner data sharing agreements
- Data analysis, cluster mapping and social network analysis*
- Develop recommendations on tools and applications for presenting data to IDP users.

Membership

The initial membership of the Data Governance Committee shall consist of representatives of:

- The State of Indiana Management Performance Hub (MPH);
- The Indiana Business Research Center
- The Polis Center
- The Indiana University Public Policy Institute

The Data Governance Committee shall consist of IDP Partners or Members, as approved by the Executive Committee. The members of this committee represent organizations that provide data or intend to provide data; individuals with expertise in data governance, data collection and management, and other key stakeholders that possess subject matter

Data Governance Committee Charter

	<p>experience in a related data or technical field and are approved by the Executive Committee. This team should seek to represent views of data creators and users from academia, the non-profit sector, the private sector, and state and local government. The Chair of this Committee will be nominated for approval by the Executive Committee based on a majority vote of the Data Governance Committee membership. The MPH will provide administrative support for the Data Governance Committee.</p> <p>There is no initial limit on the number of members of the Data Governance Committee, but the Committee may recommend a membership limit to the Executive Committee.</p>
Meetings	The Data Governance committee will meet regularly. MPH's IDP coordinator/director will serve as the facilitator for the meetings.
Decision Making	By simple majority vote subject to the presence of a quorum at the time a vote is taken. The Data Governance Committee may also make decisions by unanimous consent.
Conflicts of Interest	No member of the Data Governance Committee may participate in a vote on a matter if such voting is inconsistent with the Indiana Code of Ethics or the by-laws or ethics policies applicable to her or his organization.

4.4 Advisory Committee Charter

Advisory Committee Charter	
Purpose	To provide advice and make recommendations to the Executive Committee and Data Governance Committee by providing technical and subject matter advice and recommendations to the IDP, particularly from the user community perspective. Advisory Committees may be formed around specific topics and/or form ad hoc subcommittees or task forces for advising the Executive and Data Governance committees on IDP matters.
Scope	The Advisory Committee's scope is limited to providing information, advice and providing subject matter expertise to either the Executive Committee, The Data Governance Committee or both.
Responsibilities	<p>Specific responsibilities of an Advisory Committee include but are not limited to:</p> <ul style="list-style-type: none"> • Provide advice on the development of IDP strategies, projects and capabilities that are associated with the collection, use of data for social network analysis, and cluster analysis, in particular • Provide advice on data sharing, multilateral organizational collaboration within and across networks • Advice on individual organization participation in the IDP • Provide expertise and guidance on program subject matter, social network analysis, inter-organizational collaboration, organization inventories and classifications, related legal or public policy issues, or any other related program or technical subject matter.
Membership	Members of Advisory Committee may be nominated by members of the Executive Committee, members of the Data Governance Committee, or Affiliated Stakeholders. Members of the Advisory Committee should be IDP Members or Affiliated Stakeholders as defined in Section 2, above. A Chair will be selected among the Advisory Committee members by majority vote of the membership.
Terms & Retention	Advisory Committee members shall serve without term limits at the discretion of the Executive Committee.
Meetings	Shall be as frequent as determined by each committee, but no less than four times per calendar year.
Decision Making	No member of an Advisory Committee may participate in a vote on a matter if such voting is inconsistent with the Indiana Code of Ethics or the by-laws or ethics policies applicable to her or his organization. All decisions made by Advisory Committees are considered advisory only. Recommendations to the Executive Committee or Data Governance Committee will be made by simple majority vote.

Advisory Committee Charter

- It is desirable that recommendations are acceptable to all Advisory Committee Members; therefore, the process should be continued until a consensus is achieved.
- If a consensus in the Advisory Committee cannot be reached on an issue that requires action by IDP, the project sponsor will be advised.

The Advisory Committee may solicit advice from other parties, including subject matter experts to the extent such solicitation does not create an obligation or inure a material benefit to any member of this Committee or any other Committee established as part of IDP.



5 Funds Administration

Each organization, whether participating as a Partner, Member or Affiliated Stakeholder, shall be administratively responsible for its own funds received or expended for the purposes of supporting the IDP.

Expenditure of funds for purposes not otherwise specifically designated under law shall be subject to review and approval of the Executive Committee. Such review and approval shall be deemed to be completed through formal adoption of an annual budget or by allocation of funds as part of a contract.

Organizations may agree to jointly submit one or more applications for external grant funding for purposes of supporting the IDP. Grant funds intended for support of IDP shall be subject to review and approval by the Executive Committee prior to incorporation into the IDP budget. Organizations are encouraged to petition the Executive Committee for support before submitting grant applications intended to benefit the IDP.

The Executive Committee may also advise any participating governmental entity to seek public appropriations for funds to support the IDP, but the Executive Committee's role shall be limited only to advising on the use of funds contained within a budget proposal.

6 Amendments

This document may be amended by affirmative vote of two-thirds of the membership following circulation of the proposed amendment in writing no later than one week before a vote.